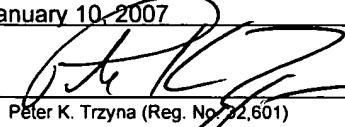


I hereby certify that this correspondence is being filed by depositing it in the United States Postal Service as first class mail in an envelope with sufficient postage and addressed to MS: Issue Fee, Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date indicated below.

Date: January 10, 2007

Signed:

  
Peter K. Trzyna (Reg. No. 22,601)

PATENT

Paper No.

File: Newmrkt-P1-98

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Inventors	:	Anthony F. Herbst and Wayne F. Perg
Serial No.	:	09/197,908
Filed	:	November 23, 1998
For	:	DIGITAL COMPUTER SYSTEM AND METHODS FOR MANAGING AN AUCTION MARKET FOR PREFERRED- RETURN SECURITIES
Group Art Unit	:	3624
Examiner	:	KARMIS, Stefanos

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MS: Issue Fee  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

### TRANSMITTAL LETTER

SIR :

Please enter the following enclosed documents in the above-identified patent application.

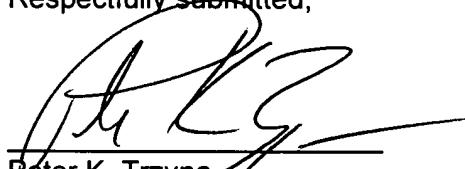
1. Part B-Issue Fee Transmittal (in duplicate);
2. Submission of Formal Drawings; and
3. Formal Drawings, Figures 1-3F, Sheets 1-11.

**APPLICANT CLAIMS SMALL ENTITY STATUS.** The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any

overcharges to Deposit Account No. 50-0235.

Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,



Peter K. Trzyna  
(Reg. No. 32,601)

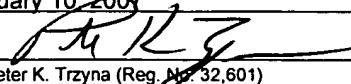
Date: January 10, 2007

P.O. Box 7131  
Chicago, IL 60680-7131  
(312) 240-0824



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MS: Issue Fee  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

### SUBMISSION OF FORMAL DRAWINGS

SIR:

Please enter the enclosed formal drawings (Figs. 1-3F sheets 1-11) in the above-identified application. The enclosed formal drawings contain no new matter.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,



Peter K. Trzyna  
(Reg. No. 32,601)

Date: January 10, 2007

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